

Basel, 25.11.2014

Form 210A (10/06)

DEC - 8 2014

**United States Bankruptcy Court
Southern District Of New York**



In re Lehman Brothers Holdings Inc., et al.,

Case Nos. 08-13555 (JMP)
(Jointly Administered)

**NOTICE OF PARTIAL TRANSFER OF CLAIM OTHER THAN FOR
SECURITY, PURSUANT TO FED. R. BANKR. P. 3001(e)(2)**

A CLAIM HAS BEEN FILED IN THIS CASE, by Credit Suisse AG (the "Transferor"), against Lehman Brothers Holdings Inc., which has been designated as Claim No. 55829 (the "Claim"). Transferee (as that term is defined below) hereby gives evidence and notice, pursuant to Fed. R. Bankr. P. Rule 3001(e)(2), of the transfer, other than for security, of a ratable portion of the Claim, in the nominal amount of USD 30,000 (the "Transferred Portion"). For the avoidance of doubt, the Transferred Portion relates to ISIN XS0325369725 only. Transferor is retaining the remaining portion of the Claim. A copy of the Evidence of Transfer of Claim (the "Evidence of Transfer") is attached hereto as Exhibit "A" and is incorporated by reference.

Name of Transferee

Bank J. Safra Sarasin Ltd

**Name and Address where notices to Transferee
should be sent:**

Bär & Karrer AG
Brandschenkestrasse 90
CH-8027 Zurich
Switzerland
Attn: Peter Hsu
Tel.: +41 58 261 50 00

- with a copy to -

Bank J Safra Sarasin Ltd
Elisabethenstrasse 62,
P.O. Box
CH-4002 Basel
Switzerland
Attn: Frank Link, Senior Legal Counsel, Legal Front-
and Back-Office Functions
Tel.: +41 (0) 58 317 45 83
Patrick Gribi, Head Legal Front- and Back-Office
Functions
Tel.: +41 (0) 58 317 40 67

Name of Transferor

Credit Suisse AG

**Name and Address where notices
to Transferor should be sent:**

Credit Suisse AG
1 Madison Avenue
New York, NY 10010
Attn: Tad Bender
Phone: +1 212 538 9137

- with a copy to -

Cravath Swaine & Moore LLP
Worldwide Plaza
825 Eight Avenue
New York, NY 10019
Attn: Richard Levin
Phone: +1 212 474 1135

Last Four Digits of Acct #: 4002

Last Four Digits of Acct. #: N/A

Name and Address where transferee payments
should be sent (if different from above):

Bank J Safra Sarasin Ltd
Elisabethenstrasse 62,
P.O. Box
CH-4002 Basel
Switzerland

Attn: Frank Link, Senior Legal Counsel, Legal Front-
and Back-Office Functions

Tel.: +41 (0) 58 317 45 83

Patrick Gribi, Head Legal Front- and Back-Office
Functions

Tel.: +41 (0) 58 317 40 67

Court Claim # (if known): 55829

Date Claim Filed: October 29, 2009

Transferred Portion: USD 30,000
(nominal amount)

I declare under penalty of perjury that the information provided in this notice is true and correct
to the best of my knowledge and belief.

By: 

Transferee

Name: Frank Link

Title: Vice President

Date: 25.11.2014

By: 

Transferee

Name: Patrick Gribi

Title: Executive Director

Date: 25.11.2014

Penalty for making a false statement: Fine of up to \$500,000 or imprisonment for up to 5 years,
or both. 18 U.S.C §§ 152 & 3571.

Exhibit A

EVIDENCE OF TRANSFER OF CLAIM


TO: THE DEBTOR AND THE BANKRUPTCY COURT


For value received, the adequacy and sufficiency of which are hereby acknowledged, **Credit Suisse AG** ("Transferor") unconditionally and irrevocably transferred to **Bank Sarasin AG** ("Transferee") all of its right, title, interest, claims and causes of action in and to or arising under or in connection with the portion of its claim (**Claim No. 55829**) relating to the securities with International Securities Identification Numbers listed on Schedule I hereto against Lehman Brothers Holdings, Inc. (the "Debtor"), Chapter 11 Case No.: 08-13555 (JMP) (Jointly Administered), United States Bankruptcy Court for the Southern District of New York (the "Bankruptcy Court").

Transferor hereby waives any objection to the transfer of the claim to Transferee on the books and records of the Debtor and the Bankruptcy Court and hereby waives to the fullest extent permitted by law any notice or right to a hearing as may be imposed by Rule 3001 of the Federal Rules of Bankruptcy Procedure, the Bankruptcy Code, applicable local bankruptcy rules or applicable law. Transferor acknowledges and understands, and hereby stipulates, that an order of the Bankruptcy Court may be entered without further notice to Transferor regarding the transfer of the foregoing claim and recognizing the Transferee as the sole owner and holder of the claim. Transferor further directs the Debtor, the Bankruptcy Court and all other interested parties that all further notices relating to the claim, and all payments or distributions of money or property in respect of claim, shall be delivered or made to the Transferee.

IN WITNESS WHEREOF, this EVIDENCE OF TRANSFER OF CLAIM IS
EXECUTED ON March 4, 2013.

Credit Suisse AG

By: 
Name: Adrian Graf
Title: AVP

By: 
Name: Irma Bauer
Title: VP

EVIDENCE OF TRANSFER OF CLAIM

TO: THE DEBTOR AND THE BANKRUPTCY COURT


For value received, the adequacy and sufficiency of which are hereby acknowledged, **Credit Suisse AG** ("Transferor") unconditionally and irrevocably transferred to **Bank Sarasin AG** ("Transferee") all of its right, title, interest, claims and causes of action in and to or arising under or in connection with the portion of its claim (**Claim No. 55829**) relating to the securities with International Securities Identification Numbers listed on Schedule I hereto against Lehman Brothers Holdings, Inc. (the "Debtor"), Chapter 11 Case No.: 08-13555 (JMP) (Jointly Administered), United States Bankruptcy Court for the Southern District of New York (the "Bankruptcy Court").

Transferor hereby waives any objection to the transfer of the claim to Transferee on the books and records of the Debtor and the Bankruptcy Court and hereby waives to the fullest extent permitted by law any notice or right to a hearing as may be imposed by Rule 3001 of the Federal Rules of Bankruptcy Procedure, the Bankruptcy Code, applicable local bankruptcy rules or applicable law. Transferor acknowledges and understands, and hereby stipulates, that an order of the Bankruptcy Court may be entered without further notice to Transferor regarding the transfer of the foregoing claim and recognizing the Transferee as the sole owner and holder of the claim. Transferor further directs the Debtor, the Bankruptcy Court and all other interested parties that all further notices relating to the claim, and all payments or distributions of money or property in respect of claim, shall be delivered or made to the Transferee.

IN WITNESS WHEREOF, this EVIDENCE OF TRANSFER OF CLAIM IS
EXECUTED ON March 4, 2013.

Credit Suisse AG

By: 
Name: Adrian Graf
Title: AVP

By: 
Name: Irma Bauer
Title: VP

SCHEDULE I

Lehman Programs Securities Related to Transferred Portion of Claim:

ISIN	Court Claim #	Date Claim Filed	Issuer	Number of Units or Currency and Nominal Amount
XS0325369725	55829	October 29, 2009	Lehman Brothers Securities NV	USD 30'000

Dr. Peter Hsu
Rechtsanwalt, LL.M.
+41 58 261 53 94
peter.hsu@baerkarrer.ch

**BÄR
& KARRER**

By courier

Epiq Bankruptcy Solutions, LLC
Attn: Lehman Brothers Holdings Claims
Processing
757 Third Avenue, 3rd Floor
New York, NY 10017
USA

Zurich, 2 December 2014
367674/312/wed/x24176306.doc

Bank J. Safra Sarasin Ltd
Partial Transfers of Claim other than for Security, Epiq Claim No. 55829

Dear Madam, dear Sir,

In the name and on behalf of the transferee Bank J. Safra Sarasin Ltd (formerly Bank Sarasin & Co. Ltd), we are sending you enclosed the following eight original copies of the completed 210A transfer forms (Enclosures 1.1 to 1.8), including copies of the evidence of transfer of claim regarding the partial transfer of claim no. 55829 against Lehman Brothers Holdings Inc.:

- Partial Transfers of Claim other than for Security, Epiq Claim No. 55829/ ISIN No. XS0325369725 (Enclosure 1.1; regarding name change see Enclosures 1.9, 1.10 and 1.11);
- Partial Transfers of Claim other than for Security, Epiq Claim No. 55829/ ISIN No. XS0302356737 (Enclosure 1.2);
- Partial Transfers of Claim other than for Security, Epiq Claim No. 55829/ ISIN No. XS0325369725 (Enclosure 1.3; regarding name change see Enclosures 1.9, 1.10 and 1.11);
- Partial Transfers of Claim other than for Security, Epiq Claim No. 55829/ ISIN No. XS0299103084 (Enclosure 1.4; regarding name change see Enclosures 1.9, 1.10 and 1.11);
- Partial Transfers of Claim other than for Security, Epiq Claim No. 55829/ ISIN No. XS0302356737 (Enclosure 1.5);

- Partial Transfers of Claim other than for Security, Epiq Claim No. 55829/ ISIN No. CH0036891429 (Enclosure 1.6; regarding name change see Enclosures 1.9, 1.10 and 1.11);
- Partial Transfers of Claim other than for Security, Epiq Claim No. 55829/ ISIN No. XS0339537390 (Enclosure 1.7; regarding name change see Enclosures 1.9, 1.10 and 1.11);
- Partial Transfers of Claim other than for Security, Epiq Claim No. 55829/ ISIN No. XS0267329307 (Enclosure 1.8).

The transferor is Credit Suisse AG.

Bank Sarasin & Co. Ltd changed its name into Bank J. Safra Sarasin Ltd. For evidence of the name change, please see a copy of the related media releases (Enclosures 1.9 and 1.10) and the company's entry in the commercial register (Enclosure 1.11) (see partial transfer of claims referred in the relating transfer documents: Enclosures 1.1, 1.3, 1.4, 1.6 and 1.7). Please use the new company name for the registration.

Sincerely yours,



Peter Hsu

Enclosures

Dr. Peter Hsu
Rechtsanwalt, LL.M.
+41 58 261 53 94
peter.hsu@baerkarrer.ch

Pg 9 of 11

**BÄR
& KARRER**

By courier

Epiq Bankruptcy Solutions, LLC
Attn: Lehman Brothers Holdings Claims
Processing
757 Third Avenue, 3rd Floor
New York, NY 10017
USA

Zurich, 2 December 2014

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Bank J. Safra Sarasin Ltd

**Partial Transfers of Claim other than for Security, Epiq Claims No. 55829,
No. 55814-27, No. 35896 and No. 51762**

Dear Madam, dear Sir,

In the name and on behalf of the transferee Bank J. Safra Sarasin Ltd (formerly Bank Sarasin & Co. Ltd), we are sending you enclosed 11 original copies of the completed 210A transfer forms, including copies of the evidence of transfer of claim regarding the partial transfer of claims (referring to claims no. 55829, no. 55814-27, no. 35896 and no. 51762) against Lehman Brothers Holdings Inc. by the following transferors:

1. Credit Suisse AG (see package 1);
2. Neue Aargauer Bank AG (see package 2);
3. BNP Parisbas (Suisse) SA (see package 3); and
4. HSBC Private Bank (Suisse) S.A. (see package 4).

As indicated above, Bank Sarasin & Co. Ltd changed its name into Bank J. Safra Sarasin Ltd. For evidence of the name change, please see a copy of the related media releases and the company's entry in the commercial register attached to the relevant packages including copies of the transfer forms where the former name has still been used in the evidence of transfer of claim (see package 1 and 2).

Sincerely yours,

A handwritten signature in black ink, appearing to read 'Peter Hsu', written in a cursive style.

Peter Hsu

Enclosures

www.dhl.com

EXPRESS WORLDWIDE

DOX

10017 NEW YORK, United States

JFKL

US-ZYP-TS2

Date: 1.03 / 1.00 KG 1/1

Account No. 150041963

Ref code

Content description

WABILL30 0156 8404

(2L)US10017 + 42000000

(J)JD01 3060 9719 9010 4738

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EXPRESS WORLDWIDE

DOX

10017 NEW YORK, United States

JFKL

US-ZYP-TS2

Date: 1.03 / 1.00 KG 1/1

Account No. 150041963

Ref code

Content description

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(2L)US10017 + 42000000

(J)JD01 3060 9719 9010 4738

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